



Renaissance Regulatory Services

Fact Sheet

# Compliance Policy and Procedure Management

It is critically important for broker-dealers and investment advisers to keep current on regulatory developments that affect their businesses. *RRS* can manage your firm's written compliance policies, procedures and controls with our document management system. Whether you are developing and drafting new compliance policies and procedures or revising existing manuals, *RRS'* staff has the expertise and tools to help you develop policy manuals that are customized for your firm's unique operations. Our service includes a comprehensive Gap analysis of your firm's operations to develop a uniquely tailored system of policies, procedures and controls. *RRS* consultants will work closely with your management team so that the final product meets regulators' requirements and expectations, and all of your firm's needs. Our policy manager service provides:

- Fully customizable content based on our database of over 1,000 unique policy and procedure topics
- Integrated compliance policies, written supervisory procedures ("WSP"), and supervisory controls procedures ("SCP")
- Comprehensive compliance, WSP, and SCP manuals, or customized subsets by supervisor, location, business line, and product
- System generated tables for delegation of supervision responsibilities (Representatives, branch offices, business lines)
- Customized supervisory procedure checklists and supervisory control testing plans
- Compliance examination checklists
- Schedule of designated responsibilities by supervisor and topic
- Upload representative, principal and branch office information from CRD
- Output formatting available in PDF, HTML and MS Word
- Hyperlinks to industry rules, regulations and regulatory websites
- Hyperlinked table of contents and topical index
- Version tracking
- Automated updates
- Customized branch Inspection plans

**Renaissance Regulatory Services, Inc.**

[www.RRSCompliance.com](http://www.RRSCompliance.com)

*Compliance  
Through Reliance*

## About Us

Renaissance Regulatory Services, Inc. was built on the premise that the financial services industry is constantly changing, so our clients need the most contemporary tools and insights in order to adapt to the unique compliance and operational challenges that arise in this ever-evolving environment.

Our purpose today is the same as it was on the day we were founded in February 2006: to empower our clients to Manage Through Change, with comprehensive and proactive solutions and audits designed by Real, Reliable consultants, and tailored to our clients' Strategic needs.

## Contact Us

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